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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/894,912
Filing Date	June 28, 2001
First Named Inventor	Tang et al.
Group Art Unit	1645
Examiner Name	Not Yet Assigned
Attorney Docket Number	28110/37260A (old) 30266/37260A (new)

Total Number of Pages in This Submission

## ENCLOSURES (check all that apply)

- |  |   |   |
|--|---|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><input checked="" type="checkbox"/> Fee Attached<br><input checked="" type="checkbox"/> Amendment/Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input checked="" type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input type="checkbox"/> Other Enclosure(s) (please identify below) |
|--|---|---|

### Remarks

Executed Declarations  
Statement Pursuant to 37 CFR §§ 1.825(a) and (b)  
Amendment and Response to Raw Sequence Listing Error Report  
Sequence Listing (one sequence listing diskette)  
Postcard

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual Name	MARSHALL, GERSTEIN & BORUN Joseph A. Williams, Jr. - Registration No. 38,649
Signature	
Date	5-7-02

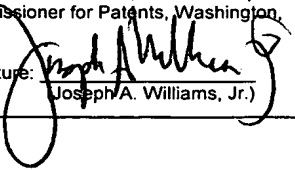
I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: BOX MISSING PARTS, Commissioner for Patents, Washington, DC 20231 on the date shown below.

Dated: 5-7, 2002

Signature: (Joseph A. Williams, Jr.)

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington, DC 20231, on the date shown below.

Dated: May 7, 2002

Signature:   
Joseph A. Williams, Jr.)

Docket No.: 28110/37260A (old)  
30266/37260A (new)

(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Tang et al.

Application No.: 09/894,912

Group Art Unit: 1645

Filed: June 28, 2001

Examiner: Not Yet Assigned

For: Methods and Materials Relating to Novel Stem  
Cell Growth Factor-like Polypeptides and  
Polynucleotides

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**

**Box Missing Parts**

Commissioner for Patents  
Washington, DC 20231

Dear Sir:

In response to the Notice to File Missing Parts of Application – Filing Date  
Granted mailed November 7, 2001 Applicant respectfully submits an executed Declaration, a  
check in the amount of \$130.00 covering the fee set forth in 37 CFR 1.16(e); Petition for  
Extension of Time Under 37 C.F.R. 1.136(a), a check in the amount of \$1,440.00 covering  
the fee set forth in 37 CFR 1.17(a)(4); Substitute Sequence Listing in paper computer-  
readable form, Statement Pursuant to 37 CFR §§1.825(a) and (b); and, Amendment and  
Response to Raw Sequence Listing Error Report.

The Commissioner is hereby authorized to charge any deficiency in the fees  
filed, asserted to be filed or which should have been filed herewith (or with any paper

Application No.: 09/894,912

Docket No.: 28110/37260A (old)  
30266/37260A (new)

hereafter filed in this application by this firm) to our Deposit Account No. 13-2855, under Order No. 30266/37260A/US. A duplicate copy of this paper is enclosed.

Dated: May 7, 2002

Respectfully submitted,

By 

Joseph A. Williams, Jr.

Registration No.: 38,659

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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/894,912	06/28/2001	Tom Y. Tang	28110/37260A

CONFIRMATION NO. 4685

## FORMALITIES LETTER



\*OC000000007039291\*

MARSHALL, O'TOOLE, GERSTEIN, MURRAY & BORUN  
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CHICAGO, IL 60606-6402

05/14/2002 BABRAHA1 00000138 132855 09894912

Date Mailed: 11/07/2001

01 FC:204 136.00 CH 4.00 DP

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

05/14/2002 BABRAHA1 00000115 09894912

FILED UNDER 37 CFR 1.53(b)

~~01 FC:101 740.00 DP~~  
~~02 FC:105 130.00 DP~~  
~~03 FC:103 1314.00 DP~~  
~~04 FC:102 588.00 DP~~  
~~05 FC:998 400.00 DP~~

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

Docketed: 11/7/02

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee for a small entity.*
- Total additional claim fee(s) for this application is \$1072.
  - \$657 for 73 total claims over 20.
  - \$280 for 7 independent claims over 3.
  - \$135 for multiple dependent claim fees.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1492.
- A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing." Applicant must provide a substitute computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d).

Docketed: 11/7/02

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

*A copy of this notice MUST be returned with the reply.*

*ES*

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Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

Adjustment date: 06/20/2002 MPASASO

05/14/2002 BABROWAI 00000115 09894912

01 FC:101	-740.00 OP	<input checked="" type="checkbox"/>
02 FC:105	-130.00 OP	<input checked="" type="checkbox"/>
03 FC:103	-1314.00 OP	<input checked="" type="checkbox"/>
04 FC:102	-566.00 OP	<input checked="" type="checkbox"/>

06/20/2002 MPASASO 00000015 09894912

01 FC:201	370.00 OP
02 FC:202	336.00 OP
03 FC:203	729.00 OP
04 FC:205	65.00 OP

Repln. Ref: 06/20/2002 MPASASO 0013115800

DAB:132855 Name/Number:09894912

FC: 704 \$1992.00 CR